

ED 338 193

HE 025 035

TITLE Progress on the Commission's Study of the California State University's Administration. A Report to the Governor and Legislature in Response to Budget Language in the 1990 Budget Act.

INSTITUTION California State Postsecondary Education Commission, Sacramento.

REPORT NO CPEC-R-91-2

PUB DATE Jan 91

NOTE 47p.

AVAILABLE FROM California Postsecondary Education Commission, 1020 Twelfth Street, Third Floor, Sacramento, CA 98514-3985 (free).

PUB TYPE Reports - General (140) -- Reports - Evaluative/Feasibility (142)

EDRS PRICE MF01/PC02 Plus Postage.

DESCRIPTORS Administrators; *College Administration; *College Planning; Communication Problems; Evaluation; *Governance; Higher Education; Institutional Mission; Interviews; Literature Reviews; Needs Assessment; Scholarship; State Legislation

IDENTIFIERS California State Postsecondary Education Comm; *California State University

ABSTRACT

This document represents a progress report of a study into the role and value of the California State University's central administration. It contains as an appendix a report by the State University on the evolution of its central administration, and it includes a review by Commission staff of relevant national literature on higher education governance, and a synthesis of impressions obtained by the staff from 50 interviews with individuals both within and outside of the State University, including members of the faculty; campus level academic, student, and business affairs staff; campus presidents; and past and current Trustees. In addition, a list of preliminary conclusions from the study thus far is provided as well as the staff's plans for further study, prior to submitting a draft of the final report. Among the conclusions are that: (1) the State University needs to be stabilized, both internally and externally; (2) there appears to be a climate of over-regulation, both within the State University system and between the system and the State; and (3) many of the existing organizational arrangements in the State University are fundamentally sound and work well. Contains 10 references. (GLR)

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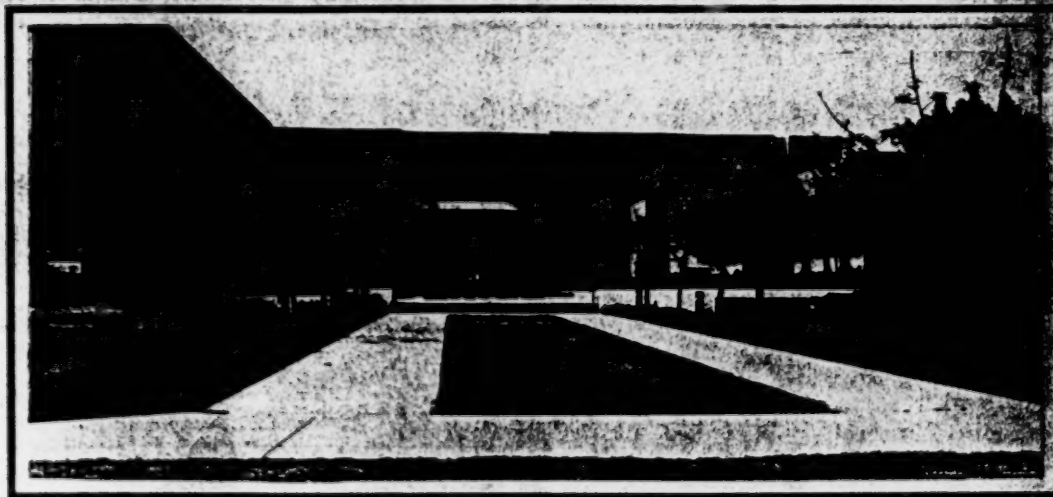
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PROGRESS ON THE COMMISSION'S STUDY OF THE CALIFORNIA STATE UNIVERSITY'S ADMINISTRATION



CALIFORNIA POSTSECONDARY
EDUCATION COMMISSION



HE 025 035

Summary

In July 1990, the California Legislature directed the Commission to undertake a study of the role and value of the California State University's central administration and to submit a progress report on that study by the end of January 1991 and a final report by June 30, 1991.

This document is the progress report for that study. It contains as an appendix a report by the State University on the evolution of its central administration, and it includes a review by Commission staff of relevant national literature on higher education governance (pp. 2-3), a synthesis of impressions obtained by the staff from interviews with a number of individuals both within and outside of the State University (pp. 3-5), a list of preliminary conclusions from the study thus far (pp. 5-6), and the staff's plans for further study prior to submitting a draft of the final report to the Commission in June (p. 6).

The Commission discussed this report at its meeting on January 28. Additional copies of the report may be obtained from the Publications Office of the Commission at (916) 324-4991. Questions about the substance of the report may be directed to Kenneth B. O'Brien, the Commission's executive director, at (916) 322-7986, or to Jane V. Wellman, the Commission's deputy director, at (916) 322-8017.

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On the cover: The systemwide offices of the California State University at 400 Golden Shore, Long Beach.

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PROGRESS ON THE COMMISSION'S STUDY OF THE CALIFORNIA STATE UNIVERSITY'S ADMINISTRATION

*A Report to the Governor and Legislature
in Response to Budget Language
in the 1990 Budget Act*

CALIFORNIA POSTSECONDARY EDUCATION COMMISSION
Third Floor • 1020 Twelfth Street • Sacramento, California 95814-3985





COMMISSION REPORT 91-2
PUBLISHED JANUARY 1991

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Progress on the Commission's Study of the California State University's Administration

Legislative impetus for the study

In July 1990, through Supplemental Budget Language the California Legislature directed the Commission to study the "role and value" of the California State University's systemwide administrative structure and operations, as follows:

The Commission, in consultation with representatives of the California State University and the Legislative Analyst, shall study the role and value of the existing State University Systemwide Central Office administrative structure and operations in the management of the State University system. The Commission shall provide a progress report by January 31, 1991, and a final report by June 30, 1991, to the Governor and to the Joint Legislative Budget Committee, and to the appropriate fiscal and policy committees of the two houses of the Legislature.

The budget crisis of 1990, which has continued into 1991, brought into focus a perennial set of questions and concerns in California about the relative priority of spending for "administration" as contrasted to "programs" -- a concern that is a generic one in State government and not isolated to the State University.

The issue for the State University, however, pre-dates last year's budget crisis. Although the recently concluded Master Plan review essentially declared the current governance structure of the State University to be adequate for the challenges of the future, for some time issues of administration and governance within the State University have periodically found their way to the Legislature. In 1987, for instance, questions about the size, growth, and cost of administration in the State University led the Legislature to ask the Commission to contract with an independent consultant to compare those characteristics of its administration with those of similar systems. That study by Price Waterhouse and MGT Consultants (California Postsecondary Ed-

ucation Commission, 1988) did not address questions of the sharing of responsibility or relative staffing between the campuses and the systemwide administration, but rather looked at overall patterns of growth in administrative spending on the campuses in contrast to comparison institutions. Its major conclusions were that spending for State University administration had increased faster than for the direct instructional program, although at a rate either below or close to similar institutions nationally.

Legislative concern about administrative spending returned in 1990 in a series of events that culminated last spring in the resignation of the system's chancellor. Since that time, a good deal has occurred within the system, although much is still in transition. The Trustees have appointed as Interim Chancellor Ellis E. McCune -- the former president of the State University's campus in Hayward; they have held a public debate on questions of internal sharing of authority between the Trustees, chancellor, vice chancellors, and campus presidents; and they are well into a national search for a new chancellor.

These administrative changes occurred simultaneously with the need to implement the deepest budget cuts in the history of the State University. As part of that decision process, the Interim Chancellor and the Trustees made several decisions about refocusing resources away from central administration to the campuses. They include: (1) a downsizing of the system program for information services, and (2) shifts in the management of academic programs. To date, close to \$15 million has been shifted from the system administration to the campuses; and more changes are possible, as reviews of all offices are ongoing. These organizational changes have been accompanied with a strengthening of the role of the State University Executive Council in decision-making and policy implementation, including particular attention to the fiscal and programmatic input of policies at the campus level.

The Commission has thus been presented with a challenge in attempting to respond to the Legislature's request to study the "existing" structure and operations of the State University's systemwide office. The problem is that much is already changing in the system, and much will undoubtedly change in the future. The Commission sees little of value or use to the Legislature in focusing this report on specific organizational configurations of the system -- on who does what, or who reports to whom -- although these are necessary and appropriate topics for discussion and agreement among the Trustees and the new Chancellor. As a result, the Commission has tried to bring perspective to these issues by looking at the evolution of the State University's administration in a larger context -- both historically within California and nationally -- to see what kinds of issues and priorities for future direction may suggest themselves to the new administration within the University as well as that in Sacramento.

Organization of the study and this report

To begin the study, the Commission requested that the Chancellor's Office prepare a description and analysis of the evolution of the central office administration. That material is presented unedited as the appendix to this report. At the same time, the Commission began a review of the national research literature on higher education to synthesize important insights as they relate to the State University's situation. It presents that material in the next section of this report. The Commission staff then conducted confidential interviews with a wide variety of individuals within the State University and elsewhere in the State about their perceptions of current concerns and priorities in the State University. The Commission summarizes the central themes of those interviews in the following part of this report, which then concludes with comments on the central themes that suggest themselves as topics for more intensive focus in the next phase of this work, along with suggestions of next steps for the State and the State University to take with respect to addressing them.

Some insights from the national literature

A review of material on the structure and governance of colleges and universities in the United States provides a number of useful guides about the goals and priorities to be obtained in an ideal system of higher education but few models to copy. No two states organize higher education similarly -- despite similar goals and institutional priorities among them. And no other state has the particular challenge of California in both sheer size -- geographic as well as numeric -- and complexity of its higher educational system. Moreover, the research literature is voluminous about single-campus governance and administration but far less rich about the particular challenges of higher education management in large multicampus systems. If California makes substantial progress in addressing those particular challenges, it could well serve as a model for the rest of the country.

In spite of the generality that no single right governance model exists for multicampus systems, certain themes about effective patterns and prototypes in higher educational governance reflect the changing needs and priorities of the growing systems of higher education in the country. The 1960s can probably best be characterized as a period of system building in California as well as elsewhere, with the "multiversity" model of Clark Kerr (1963) capturing the imagination of system builders and policy makers both in California and nationally. By the 1980s, however -- following intensive master plan reviews in at least 14 states where State coordination and governance were at issue -- the "big system" model had fallen into increasing disfavor. In 1989, Kerr revisited the issue of state coordination and in a study commissioned by the Association of Governing Boards concluded that he had "grave concerns about the trend toward consolidated systems":

The most essential point in policy for the future is that each campus . . . should be given a sense of important influence over its own destiny and an assurance that its own personality will not be coordinated and layered out of existence. At the same time, the individual campus should not court anarchy. The goal should be maximum local autonomy under lay guidance within a system of effective coordination -- a difficult combination to achieve.

Kerr's particular concern was based on a discernible trend outside of California toward state "super boards." Similarly, the Education Commission of the States (1987) and others have tried to distinguish between issues of state-level *coordination* -- as being concerned with the legitimate needs of the State -- and institutional *governance* -- which is focused on the institution -- and have called for ensuring decentralized campus-level decision-making despite at-large coordination (McGuinness, 1986; Caruthers, 1987; Postsecondary Education Study Committee, State of Nebraska; 1989, Kaufman, 1989). Such statements support Lee and Bowen's conclusion from their major study of the issue, *Managing Multicampus Systems: Effective Administration in an Unsteady State* (1975, pp. 146-147):

... many important policy decisions involving public higher education within a state can be more effectively resolved by an educational institution than by arms of state government. The central administrations of multicampus systems may be one step removed from the internal administration of campuses, but they are university systems, not state agencies, and differences between the two are profound.

Outside of the literature on the management and governance of higher education, useful insights that apply to the State University's administration can be found in recent work on the nature of scholarship itself. From this literature, it appears that unless a particular individual or political problem is plaguing an institution, continued problems with "governance" generally point to a larger set of problems with institutional mission. There is some reason to believe from this literature that, to the extent the State University suffers from recurring governance problems, they are symptomatic of the State University's functional type in the higher educational landscape of the United States and are not unique to California or this system.

Some recent work by Ernest Boyer, president of the Carnegie Foundation for the Advancement of Teaching, suggests that the basis for the particular dilemma of mission faced by regional or comprehensive universities like the State University's campuses is grounded in a widely held but nonetheless limited concept of scholarship. He believes that conventional definitions of *scholarship* are unnecessarily narrow and have led to the dominance of American higher education by the research-oriented "flag-

ship" university. The particular problem from this pattern of imitation is that not enough institutions "take pride in their own uniqueness." He calls for a redefinition of scholarship to help end the "suffocating practice by which colleges and universities measure themselves . . . by external status rather than by values determined by their own distinctive mission" (1990, p. 55). The institution that he argues stands to benefit the most from a redefinition of scholarship is the comprehensive college or university, which he refers to as the "ugly duckling of higher education" (pp. 60-62):

The comprehensive college or university, perhaps more than any other, can benefit from a redefinition of scholarship. Many of these institutions -- offering a broad range of baccalaureate and masters level programs -- are having a difficult time sorting out priorities . . . What we urgently need are models for the comprehensive institutions, distinctive programs and priorities that give distinctiveness to the mission, and are not purposely imitative of others.

Themes from the interviews

Commission staff held confidential interviews with close to 50 individuals both within and outside of the State University system, including:

- Past and current Trustees;
- Central office academic and business affairs staff;
- Campus presidents;
- Campus level academic, student, and business affairs staff;
- Members of the faculty;
- Representatives of the Academic Senate;
- Representatives of the faculty union -- the California Faculty Association;
- Statewide educational executives in other states; and
- Accreditation agency staff.

The interviews were candid, free-wheeling, and very helpful in gaining insights about the system. Although many different themes emerged from

them, Commission staff found a remarkable consistency of perception by people at all levels within the State University and by those outside of it about the major issues facing the system. Although many might quibble with the specific characterization of these issues, the three recurring themes as heard by the Commission staff were:

1. *A need for focus and internal setting of priorities for the State University within its mission.*

The "mission problem," as heard by the Commission staff, is not often expressed as a fundamental quarrel with the State University's mission as expressed in the Master Plan: People appear to accept if not embrace that mission. Rather, there seems to be a general lack of articulation of the unique role and contribution of the State University and the reason for the system. Many characterize the system in terms that are negative or relative (what it doesn't have vis-a-vis the University of California, in particular) or simply political. The size and complexity of the State University is unique in the United States: It has 20 campuses, with many different strengths and characteristics, and three general "clumpings" of campus types -- comprehensive universities, polytechnic institutions, and liberal arts colleges. Yet these three "clumpings" are not explicit, and their uniqueness from one another is not capitalized upon.

This problem of mission is particularly acute in the State University because of the current press of resources in the State of California. It is clear to most people that the State University is at least on the edge -- if not already there -- of being unable to fulfill all aspects of its mission equally well with the current resource base. Enrollment is growing; the student base is increasingly heterogeneous; expectations for faculty research are growing; pressure to improve educational performance is increasing; and funding is shrinking. The State University needs to increase its base of resources, which will require a solid, articulate public explanation of its needs to do that, accompanied by a sophisticated external budget strategy. But the State's budget situation is such that the most sophisticated budget strategy might not net new resources. Thus, decisions may need to be made by the Trustees to reduce the scope of programs or activities within the system -- a set

of decisions that are sure to be difficult internally as well as controversial externally. The ability of the system to come to agreement about those kinds of strategic and policy matters, and to sustain a controversial debate about them in Sacramento, is of concern to many.

2. *A need to address a climate of over-regulation and control.*

Perhaps in part because of the history of the State University in detaching itself from State government, but also because of the sheer challenge of doing business any other way, the State University has a tradition of communicating between the campuses and the systemwide administration as well as with the State in transactional, formulaic "reguleeze" rather than in educational program or policy terms. There is a policy basis for most of the regulations, but they seem to be lost in the mists of time, and many people are unfamiliar with them. There seem to be inadequate resources spent on familiarizing people with how to deal with this bewildering array of regulations, formulae, and formal as well as informal controls, so -- as is the case in any organization -- there is a perception that resources come to those who know how to "work the system" and not to the also-rans. Although Commission staff found little specific evidence to corroborate the resource concern, on the smaller and geographically remote campuses particularly there is a sense of having lost out.

Responsibility for addressing the problems of regulation and control have to start with the Legislature and Governor, since much of what is in place has been put there either in defensive anticipation of Sacramento or in reaction to specific legislative directives. But the State is not the only culprit, although it is blamed for much of the regulatory excess in the State University. Although the State University has in the past argued for less control, it has not put forward a practical agenda to accomplish that goal. The only actual proposal that periodically surfaces is to give the State University constitutional autonomy analogous to the University of California -- something that sends a symbolic message rather than a specific one and that has not been terribly well received in Sacramento. Unless and until the Trustees make the deregulation of the system their own policy agenda, it is unrealistic to

expect State officials to abandon unilaterally what seems to be necessary control for accountability.

3. *A need for an internal climate of consultation, trust, and communication.*

Almost nobody within the State University is happy with the way that communication occurs, and yet nobody can specifically articulate why the problem exists or how to make it better. The difficult budgetary and management events of the past few years have stretched the leadership resources of the State University in a way that would put strain on communication in any system, so much of the "communication problem" will probably go away when the system stops feeling itself to be in a continual state of crisis. But part of the issue may stem from the regulatory mode of doing business within the State University, which puts an emphasis on paperwork in lieu of consultation and consensus building. However, unless resources -- including the resource of time -- are put into more communication and consensus, then the paper process will inevitably continue. Also, there needs to be some attempt to focus attention on those matters that require systemwide intervention and leadership, and to leave alone those problems that are specific to one or two campuses or that do not require a permanent solution.

**General conclusions
and observations**

The California State University is the largest single system in the nation and has existed for a relatively short time -- three decades. In addition to its relative youth, the system has a mission that is both ambitious and, frankly, ambiguous, with continuing debate in California and across the nation about the purpose and priorities of comprehensive colleges and universities.

Because the system has been under somewhat intensive internal as well as external study in the past several years, and in light of the current State budget crisis, one can come to the conclusion that the system itself is in a state of crisis. But the Commission has not found this to be so: in spite of some real challenges and problems which require attention, the system is sound. Procedures are in place

that, for the most part, work. Many people get a remarkable amount done.

Most importantly, the faculty and staff perform a terribly important function for the State of California. The majority of baccalaureate recipients educated in California are graduates of the State University, and they provide a rich resource in helping California become a State with highly educated leadership. The leadership of the system, both by Chancellors Dumke and Reynolds, has been instrumental in moving the system forward. From primarily teachers' colleges in the 1950s, the colleges became comprehensive universities within a very short time of the creation of the system in 1960. In addition, under Chancellor Reynolds, the system accommodated diverse populations through an emphasis on educational equity, upgraded admissions standards and teacher education, created new programs in the arts, and developed a pre-doctoral program to assist individuals historically underrepresented in the faculty in going on to receive the doctorate.

Moreover, the system has had to accommodate thousands of new students in the last 30 years, and has constructed five new campuses since 1960, along with a large number of off-campus centers. The State University has been the system that is most hospitable to both transfers from the California Community Colleges and to nontraditional students -- including older and part-time students as well as those traditionally underrepresented in higher education.

The Commission's review of the State University's systemwide administration is still incomplete, but based on the Chancellor's Office historic analysis of the evolution of the system, the Commission's review of relevant national literature on higher education governance, and Commission staff interviews of a number of people about the major issues facing the system, the Commission presents the following preliminary conclusions at this time.

1. Many of the dilemmas faced by the State University are symptomatic of comprehensive colleges and universities everywhere in the country and are not the result of organizational configurations or individuals specific to California.
2. Many of the existing organizational arrangements in the State University are fundamental-

ly sound, and work well. In spite of that, concern is valid about the ability of the system to adequately define and communicate its resource priorities in a time of severely constrained State resources. Although the State University needs to increase its resource base in order to maintain its current scope and quality of programs, it is at risk of losing resources. There is little question that the tough decisions that affect the State University either should not or will not be made in Sacramento; they must be made by the State University. The capacity of the institution to articulate its needs, to create its future, and to make necessary and difficult decisions about priorities must be enhanced in order for these choices to be made.

3. There appears to be a climate of over-regulation both within the State University system and between the system and the State that dominates the vocabulary about its purposes and obscures vision about its accomplishments. This is in some part the responsibility of the State, which may be loath to give up some control in the name of accountability, but many people within the system seem to be willing participants in the control conspiracy. If the State University's Trustees are to focus on the policy and planning questions that are at the heart of the future of the institution, they need to get away from relatively narrowly defined work that occupies much of their current agendas. The deregulation of the State University, if it is a realistic goal and can be accomplished, must be the shared responsibility of State control agencies and the Trustees.
4. The State University needs to be stabilized, both internally and externally. Much has been done in the past ten months, in spite of the budget problems, to move toward stability. With stability will come increased trust, better communication, and more willingness to take risks. All are needed in all institutions, and all are important goals for the State University.

Next steps

Once this interim report is sent to the Legislature, and pending discussions with members of that body, the Commission envisions the following next steps for this effort:

1. Discuss these issues and this report in a variety of settings within the State University, as well as in State government, to refine and revise its preliminary findings and conclusions as necessary.
2. Explore the issue of regulation as it affects the State University, to identify whether and if so how the theoretic agenda of deregulation of that system can be made into a practical reality without sacrificing the State's legitimate interest in accountability.
3. Focus attention on the question of budgeting and use of resources in the Chancellor's Office, to see if any specific recommendations about centralization or decentralization are appropriate, following further study of the current organization and staffing of multicampus system offices in other states and in the University of California, to explore whether models exist there that may be helpful to the State University.

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A Historical Perspective:
Centralization and Decentralization
in the California State University,
1950 - 1990

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Office of the Chancellor
The California State University

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December 19, 1990, Draft

D R A F T

December 19, 1990

An Historical Perspective:
Centralization and Decentralization
in the
California State University, 1950-1990

In order to appreciate fully the dimensions of centralizing and countervailing decentralizing forces acting upon the California State University system currently, a brief historical perspective is useful. In broad strokes, the historical record can be viewed by decade beginning with the 1950s and the rapid expansion of higher education and the then State Colleges following World War II.

The 1950s: Growth, Competition and Restiveness

The 1950s found the State Colleges as a loose confederation administered by the State Director of Education (now Superintendent) and the State Board of Education. Each campus was largely autonomous with its president exerting direct administrative, if not academic, control over the institution. While accountable to the State Board,

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presidents, who were normally hand-picked by the State Director, made independent representations to the Legislature on behalf of their institution. A council of presidents, working with the State Superintendent and his designee, provided a degree of coordination among the colleges which during the late 1940s and into the 1950s had gradually evolved from teacher training institutions toward more comprehensive undergraduate colleges. Indeed, the Council of Presidents, working with the staff of the Department of Education, operated much as would a governing board and a central office. By 1955 ten colleges were in existence with four additional authorized in 1957.

Although the institutions were autonomous in many ways, this loose confederation of colleges was at the same time controlled by a variety of State agencies in respect to facilities (State Architect), budget, and purchasing (at that time a function of the Department of Finance). Budgetary and facilities-related formulae and budget line items closely regulated the campuses in their operations. Personnel, although not a part of the State Civil Service, were subject to State Personnel Board procedures. Classification matters,

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for example, required approval of the State Personnel Board staff if not the Director of the Board himself. Budgets were negotiated by each campus with the Department of Finance while staff of the Division of State Colleges and Teacher Education in the State Department of Education acted as observers and, in some cases, as facilitators of campus paperwork through the State bureaucracy. Each college sought to negotiate its own "best deal" within the narrow limits permitted by the formulae.

In the late 1950s concerns developed at the state level and among the colleges themselves regarding varying levels of funding which resulted from the individual budget treatment of the independently developing colleges. Formulas for funding and workload became to be employed across the colleges in an effort to equalize treatment. This formula approach led to practices such as the construction of classrooms according to staffing formulae, thus resulting in small classrooms which restrict flexibility in instruction to this day on most campuses.

By 1959, and at the time of the Master Plan survey, the state colleges were largely administered and managed through

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formulae and budgetary controls external to the colleges. There was no clear locus of leadership for direction or accountability. Individual campuses such as San Francisco, San Jose and San Diego because of location, history and development began to be perceived more in a university mode. Comparisons to the smaller University of California campuses at Davis, Riverside and Santa Barbara (a former state college) were inevitably made, leading to fears on the part of some policymakers that, left unchecked, serious competition to the University of California could result.

Demand by locales for new campuses, the growing size and complexity of the State Colleges, developing programs at the graduate level, the perceived competition for funds in the Legislature, and the desire for greater recognition on the part of the State Colleges themselves contributed to the forces which led to the 1960 Master Plan for Higher Education. A major outcome of that plan was the establishment of the Trustees of the California State Colleges and the creation of a system out of the loose confederation of campuses previously administered by the State Board of Education. Thus the Master Plan and the resulting Donahoe Act

as they applied to the state colleges were designed to make the state colleges more administratively coherent.

The 1960s: System Building

The leadership of the new system, both Trustee and Chancellor alike, at the outset set about creating a union of campuses from a confederation on the one hand, and, on the other, began to pursue delegations to the system from the State in areas of budget, facilities and personnel. Thus were set in motion significant, centralizing forces designed to build the system while efforts were made to seek relief from political and administrative control by Sacramento.

High on the agenda of the Trustees was the need to change previously established admissions policies in order to meet the Master Plan direction to limit admissions to the top one-third of high school graduates. Prior to the system's creation, the campuses drew from the top 45%. While the changed admissions policies in themselves did not necessarily lead to centralizing tendencies, the development of a system relations with schools activity did.

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Early on, the Board set about developing an academic program planning process designed to require individual campus academic program plans and to consolidate them into a system plan. A key element in motivating this effort was to provide a basis upon which to justify expanding capital programs.

Independence from the State Personnel Board and civil service was assured in the legislation creating the system. In most respects, however, the position classification and compensation system in place was transferred over to the Office of the Chancellor from that administered by the State Personnel Board. Although significant delegations were made in the mid-1960s concerning appointments, the tradition continued of significant, centralized policy and administrative control over staffing in both academic and support areas. For example, the Board of Trustees at the outset approved appointment of Vice Presidents and campus organizational patterns. The latter function continued to be performed at the Office Chancellor level until recently.

The planning and designing of physical facilities became a system function early on as the Board of Trustees took charge

from the State Architect of an ambitious building program which included the development and establishment of new campuses. This function was, and continues to be, largely directed and implemented at the systemwide level.

Delegations from the State were slow to come in the area of budgets and purchasing. An effort was made to demonstrate the capacity of the system to manage its own fiscal affairs. It is probably fair to say that the objective in these years was to concentrate upon delegations to the system as the first step, leaving for later the next step of further delegations to the campuses when all concerned at both the system and state level were assured that the State Colleges individually could assume these functions. Indeed, nearly a decade of experience was required before the Legislature could be persuaded to approve in 1969 an extension of limited fiscal delegations to the system (Education Code Section 89753).

Other significant steps were taken in the effort to forge the system. In 1963, with the impetus of the Chancellor, a system academic senate was created after much discussion among the presidents and faculty leaders. The model chosen was one

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which was freestanding from campus senates thus creating yet another centralizing dynamic. A proposal to have the Chancellor chair the senate was only narrowly defeated. The Chancellor, nevertheless, is a member of the Senate. These same years saw increasing activity of faculty associations which ultimately would lead to unionization of the faculty a decade or more hence. In the 1960s and 1970s the Senate became not only the policy advisory body on academic matters to the system, but also upon conditions of work.

While there were some efforts at inter-campus collaboration with or without substantial Office of the Chancellor involvement, the first major systemwide academic program was created: the International Program established in 1963 which continues to the present.

The establishment in 1961 of the State coordinating agency (Coordinating Council for Higher Education) concurrently with the State College system played a role in underlining the importance of a system office to provide data and to respond to significant policy issues. These issues at the state level in the 1960s included the need for new institutions,

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modification in Master Plan admissions exceptions policies, the 60:40 upper division-lower division relationship, establishing comparison institutions for faculty salary setting purposes, space and utilization standards, what today are known as educational equity programs, among other matters.

In 1968 Chancellor Dumke outlined a five-point agenda for the future. This agenda included:

- "1. Salary parity with the University of California for like functions and faculty quality.
2. Formal recognition of the growth and excellence of the State Colleges by changing our name to California State University.
3. The introduction of sufficient adjustments in faculty teaching load to allow time for research within our function, and to improve the effectiveness of our teaching mission.
4. The introduction of independent Ph.D. programs in our senior institutions with an emphasis on teaching.

5. Approval of budget augmentations and procedures which will give us increased faculty benefits and the fiscal flexibility necessary to operate more creatively and efficiently."

Other initiatives in the period included efforts toward constitutional status and recognition of the research function. Few of these initiatives were immediately successful.

The rising tide of student unrest in the late 1960s focussed on the system's perceived need (often prodded by State leaders) to respond to campus trauma. This was most dramatically reflected in the occurrences at San Francisco State when there were times the Chancellor and the Board sought to manage campus activities.

The 1968 staff report to the Joint Committee on Higher Education (the Unruh committee) characterized the system in these words: "Although the individual colleges have traditionally enjoyed a substantial amount of freedom of operation, they are subject to detailed supervision and

control in such matters as purchasing, budget standards, campus planning and construction, and admissions policies, either by the Trustees and the Chancellor's Office, or by other state agencies." (The Challenge of Achievement, p.12)

The 1960s could perhaps be characterized as a period of organizational aftershocks, following the seismic event of the Master Plan. Consensus regarding the state colleges' future was not achieved immediately. The Unruh committee proposed that higher education be reorganized along regional lines. A 1969 survey of faculty sponsored by CSEA supported alternative forms of regional coordinating boards over the present system. A consultant's study commissioned by the Coordinating Council for Higher Education concluded a fourth public system was the answer to governance and organizational issues. While none of these proposals was seriously debated, the fact of their existence indicated that the consolidation process continued a good decade after the system's creation as part of the Master Plan.

The 1970s: Consolidating the System

By the year 1970 many of the major objectives of the 1960s in terms of system building had been met. The confederation had become a federation with its own "constitution" in the form of various policies and motivations. The relationships between campuses, the Office of the Chancellor and the Board of Trustees which were established in those early years have continued in substantially the same form to the present day. The so-called "New Approach" enunciated by Chancellor Dumke in January 1971 established in some ways a tone for the 70s emphasizing academic program development as opposed to the more administratively and governance-based efforts of the 1960s system-building decade.

An important symbolic recognition of the creation of a stable system came in 1972 with the approval of the system's name change to the California State University and Colleges after a long fought battle in the Legislature. With that action the majority of campuses gained the use of the word "university" in their title with others to follow over the years as certain criteria were met. (By 1982, the words "and Colleges" were formally dropped as well.)

The second review of the Master Plan conducted in 1973 and 1974 implicitly validated the governing relationships within the state university system as well as for the other systems and instead focussed on modifying the role of the state coordinating agency. This review did not address the basic relationships among the campuses, the Chancellor and the Board of Trustees.

The 1970s saw the slowing of growth and in some instances the actual shrinkage of enrollments on some campuses. In some respects this period allowed greater system and campus attention to issues of quality improvement. A systemwide initiative predating the federal FIPSE program and an outcome of the "New Approach" encouraged faculty experimentation in teaching and professional development. Efforts began to extend the uses of the computer in instruction at both the campus and system level. A Chancellor-sponsored effort sought to develop a university without walls which took the form of a CSU Consortium which, however, lacked strong campus support and was often viewed as in competition with off-campus programs sponsored by individual campuses.

Driven in part by emphasis upon state-level procurements a major systemwide program for computer acquisition and its management developed throughout the decade which necessarily was centralizing in nature due in large measure to legislative and budget requirements as well as the then state of the art in computing requiring costly mainframe equipment.

Trustee-sponsored legislation in 1969 created a management audit organization apart from the Office of the Chancellor which tended during the 1970s to enhance centralized monitoring of various activities and required the statement and codification of policies for uniform application to all campuses.

Issues of concern during the decade at the systemwide level included reversal of the trend toward more liberalized grading, the seeking of flexibility from the Department of Finance to permit more than 60% of full-time faculty to be at the level of full professor, coping with steady state and the related spectre of layoff, establishment of grievance procedures for faculty, and resisting apparent legislative intrusion into policies on granting of academic course credit.

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Perhaps the most significant issue of the period having implication for the role of the system office in relationship to the campuses was the developing momentum toward collective bargaining for faculty and staff. The effort of several years by faculty and staff organizers was successful in the passage of AB 1091 in 1978 which put in place the Higher Education Employees Relations Act. While the first agreements were several years away, the Act called for systemwide units, necessitating system rather than campus bargaining. Accordingly, additional funds were appropriated to the Chancellor's Office to administer the program.

Another area which received continuing emphasis in the 1970s, and which led in some respects to central policy-making, involved affirmative action programs for both staff and students. State and Federal emphasis on reporting and monitoring placed the system in the role of accounting for the actions of individual campuses. State categorical funds dedicated to student access programs were in large measure justified and administered from the system level.

The maturing of the Academic Senate and the increased influence of the students in the form of the Student Presidents Association (later the California State Students Association) gave rise to questions about the position of presidents: did they play a significant role in the system's management or were to be treated as another constituency.

Chancellor Glenn Dumke addressed this point at a Council of Presidents' meeting on October 18, 1977. The notes for the meeting state: "The Chancellor stated his view that the Presidents are not a 'constituency' in the same sense as faculty or students. They are line officers responsible for the total administration of the campuses while faculty and students, for example, represent the points-of-view of a single constituency. Presidents serve in an advisory capacity to him helping to develop and recommend systemwide policy recommendation for Board consideration. The Academic Senate, while representing a single constituency, also serves as an advisory board to his office in that '... the Chancellor is the correct channel to the Board for all recommendations of interest to the Board.'"

Related to the above was, and is, the relationship of the presidents as an organized body to the Chancellor. By the 1970s the Council of Presidents (CCOP), which as a body predated the establishment of the system, had evolved into an organization with its elected chair, executive committee and individual committees which in many respects mirrored those of the Board of Trustees. Staffing of the committees and the CCOP agendas normally was performed by the Office of the Chancellor staff much as occurred with the Board itself.

In some respects the CCOP organization reflected aspects of the confederation origins of the system and could be interpreted as furthering objectives of decentralization of decision-making. By the late 1970s, however, the perception in some quarters was that the organizational form encouraged the "constituency" label which in turn diminished the potential for a management team consisting of the Chancellor, Vice Chancellors, and the Presidents with the Chancellor as spokesperson for all. Indeed, the Chair of the CCOP served as the official spokesperson for the body at Board of Trustee meetings.

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By mutual agreement, the Council of Presidents in March 1980 became the CSUC Executive Council, a body chaired by the Chancellor with its members consisting of Presidents and Vice Chancellors with all meetings to be plenary in nature and intended to consolidate in one body the executive functions of the CSU. The Executive Council continues in this form to the present.

The 1980s: A Maturing System

Relationships between campus and center and the approach to administration of the system during the 1960s and 1970s were influenced by two significant factors: a single person who served as Chancellor for almost the entire history of the system and a board, which though changing in composition and appointed by different Governors, for the most part saw the future success of the system through strong, central direction. State policy typically continued to treat the CSUC as another state agency in fiscal and procedural matters serving to reinforce centralizing tendencies. Increasing requests for data and information by the Legislature and state review agencies such as CPEC and the Legislative Analyst

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contributed by emphasizing the role of the Office of the Chancellor.

The early 1980s saw the appointment of a new Chancellor from outside the system and the state. With the encouragement of the Board, first on the new Chancellor's agenda were substantial fiscal delegations to campuses in terms of the handling of budgeted funds including the authority to transfer funds among major budget categories. In the early 1980s further legislative authority was successfully sought to permit the system to execute contracts up to \$100,000 for purchasing and services. The campuses have been delegated full authority up to the maximum on the former, while the Office of the Chancellor reviews service agreements between \$50,000 and \$100,000. Contracts above \$100,000 continue to require Department of General Services approval. Full delegation is accorded in capital outlay matters to the system. Furthermore, additional authority over personnel classification was delegated to the campus.

A long discussed formal executive evaluation program was put into place in 1983 replacing a more informal assessment

program. This new program gave the Board assurance of a broad range of comment from staff, faculty, community and students, on the performance of system executives (Presidents, Chancellor and Vice Chancellors).

A major and important tool for the recruitment and retention of campus administrators was provided by the establishment of the Management Personnel Plan or MPP which permitted campuses to establish salaries within broad ranges subject to fund availability. This program instituted in Fall 1983 marked a significant break with the civil service tradition which had persisted since the organization of the system.

With Board of Trustee endorsement, during the 1980s major systemwide emphasis was placed on reform of general education, improved teacher education programs, revision of CSU admissions policies, recognition through a specific funding authorization for faculty research and scholarly activity, and encouragement of visual and performing arts programs.

A pervasive theme which was implemented through a variety of new program initiatives often at the system level was the need

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to increase access for underrepresented students. As the decade drew to a close, in part the result of the 1985-1990 Master Plan review, increased attention was placed upon the system's ability to increase the numbers of community college transfers.

The 1980s saw, as well, an encouragement to campuses to provide and plan for growth. The capital outlay programs of the most recent years resemble in proportionate magnitude the programs of the mid to late 1960s. Finally, a new campus was begun and new off-campus centers encouraged.

Negotiations and implementation of collective bargaining contracts throughout the period tended to stress a systemwide approach to issues of working conditions due to the requirements of HEERA. Problems encountered in negotiations and individual campus personnel practices often found their way before legislative committees with the system being held accountable for solutions with little distinction made between generic, system issues and individual, localized situations.

While a perspective on the more recent past is difficult to provide objectively and accurately, it would appear on balance

that individual policies and actions taken by the system and policies established for the system by external agencies tended in many ways to encourage campus autonomy and flexibility. Increased fiscal delegations, greater flexibility in salary setting, encouragement of outreach to campus regions, stress upon campus initiative in acquiring non-state fiscal support, discretionary funds provided through the lottery (although the Board of Trustees expressly has retained close control over the allocation of these funds), and more deliberate evaluation of executive performance toward increasing accountability at the campus level all have contributed to greater latitude for campuses. With substantial delegations from the State, the centralizing tendencies in computing are being reduced as reflected in a program being executed during this current academic year which will deemphasize the Office of the Chancellor's role in allocating and managing computing resources.

Countervailing influences toward centralized programs and policies continue as a result of collective bargaining although few would seem to argue for campus by campus bargaining. In addition, the Legislature and review agencies

have continued to delve into operations of the system from time to time, perhaps to a greater extent than other segments of higher education, which has led to efforts to address issues from a system rather than a campus by campus perspective.

From the mid-1980s on, various systemwide task forces and studies, largely relating to student or academic issues, often led to adoption of Board policies which are perceived on campuses as leading to diminished campus flexibility in dealing with the very subjects addressed by those studies. Increasingly, it was asserted, campus management decisions affecting program areas were being dictated at the system level. While not expressly articulated, the concept of a single university with its individual branches seemed to be emerging by the end of the decade from the course set by system leadership.

Some programs initiated or encouraged by the Office of the Chancellor during the past several years have given rise to concerns which might be fairly described as not so much reflecting a planned effort designed to achieve more

centralization, but rather which give rise to concerns whether such programs could be better pursued without substantial direction from the system office itself. The CSU Summer Arts program, the Fine Arts High School, the Joffery Ballet association, are among such activities which contributed to this concern.

Although not entirely apt, it could be said that the Office of the Chancellor in the 1960s and 1970s emphasized a coordinating-managing role while the style of the 1980s was one which emphasized systemwide program initiatives sometimes apart from the campuses. In the process, less emphasis was placed upon managerial relationships and system coordination.

1990: A Year of Transition

1990 proved to be a year which will mark the beginning of a new period for the California State University system and its approaches to systemwide administration. Following the departure of Chancellor W. Ann Reynolds in late spring, and with the appointment of Acting Chancellor Ellis McCune, there began an internal review of many programs and functions toward

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the objectives of moving decision-making and resource allocation to the lowest level possible and to increase service to campuses. This process is continuing in part encouraged by budget exigencies and will doubtless extend in some form some time into the tenure of a new, permanent Chancellor.

As a part of the process of internal review, in September 1990 a major downsizing of the system program for information services was announced. This course, begun several months before, will lead to the shifting of an estimated \$5 million in resources from the Office of the Chancellor to the campuses over the current and upcoming budget years.

Review of Academic Affairs programs led to the decision in November 1990 to make certain program reductions and delegations to the campuses representing a savings of some \$3 million and involving a delegation of some \$9 million in program activities previously administered through the Office of the Chancellor. Presently under review for report in March 1991 are the functions administered by the Faculty and Staff Relations section of the Office of the Chancellor.

In addition to functional reviews of the Office of the Chancellor, particular emphasis has been placed upon enhancing the role of the CSU Executive Council in decision-making and policy implementation including particular attention to the fiscal and programmatic impact of policies at the campus level.

Following extensive discussion the Board of Trustees in November 1990 adopted a change in policy calling for the appointment of Vice Chancellors by the Board of Trustees upon recommendation of the Chancellor and for Vice Chancellors to serve at the pleasure of the Chancellor who shall consult with the Trustees prior to taking action to terminate a vice chancellor. Previously policy called for Vice Chancellors to be appointed and terminated by the Board with the role of the Chancellor not explicitly stated. The General Counsel's appointment and tenure remains exclusively with the Board. Selection of presidents continues to reside with the Board.

Conclusion: Thirty Years of Struggle Between Center and Field

In 1981, Louis Heilbron, a founding Trustee and the Board's first chairman, on the occasion of the dedication of the CSU

Archives listed nine great issues which have confronted the system which may, in part, still be unresolved. The first two on his list were: "1. Campus autonomy vs. central control. The never-ending struggle between the center and the field. 2. The anatomy of governance: the proper roles of Trustees, administration, faculty and students. Does a trustee represent all of the people's interests in education or a regional or other constituency? What powers should be delegated to presidents?"

Doubtless most would agree that these two issues remain unresolved. Many persons would regard any wholly fixed relationship or set of relationships as unhealthy in any event.

An overview of the history of the past thirty years reflects a situation at the outset when the balance was tilted toward decentralized decision-making, especially in programs matters, albeit restrained by a plethora of bureaucratic approvals which led to centralization of procedures at the State level. As the system-building forces of the 1960s took hold, the balance swung the other way perhaps passing the point which an observer would assert to be the stage of "perfect" balance.

Other forces have been at work at least during the last fifteen years which would swing the balance in the other direction, again subject to varying assessments of "perfection" of balance. An assessment of tendencies by subject may lead to somewhat different generalizations: a thirty year trend in decentralization in fiscal and personnel matters offset by centralization forces in academic policy and faculty working conditions.

The tendencies, past and present, toward centralization have been significant. They have included:

- + A single governing board for a large, multi-campus system which requires certain norms upon which to set its policies.
- + The State's need for a consolidated budget proposal to avoid campus by campus budgeting.
- + The need to prepare and justify a capital outlay program on a system basis.
- + Collective bargaining.
- + A large and complex organization which requires certain norms for effective management, efficiency and accountability.

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- + The Legislature and Executive which have been reluctant to relinquish controls except on a gradual, piecemeal basis.
- + An activist Legislature which tends to seek system rather than campus responses to a variety of issues.
- + The mechanics of State budgeting and budget building which traditionally have emphasized formulas over discretion.
- + A Statewide Academic Senate which has encouraged systemwide approaches as a solution to individual campus concerns.
- + An organized systemwide student organization which has sought, as well, systemwide solutions to campus problems.
- + State review and control agencies which look to the system for answers and solutions to problems whether individual campuses or system in nature.
- + Master Plan-type policies such as basic admissions and exceptions to admissions policies, the 60:40 upper division-lower division relationship, common core curricula for transfers, etc.
- + The relationship accorded smaller, developing campuses in which the Office of the Chancellor and the system provide special assistance through staff advice and unique budgetary formulae.

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- + Increasing litigation necessitating systemwide attention to precedent-setting matters largely personnel-related.

At the same time there have been, and continue to be, a variety of decentralizing forces at work which tend to militate against a monolithic centralized administration. These include:

- + The sheer size and complexity of the system which in itself has always dictated a substantial need for autonomy. At no point in the system's history could the full array of personnel, fiscal, physical and academic program decisions have been made by the Board of Trustees or the Office of the Chancellor.
- + The force of the Presidents as a group as a brake against many aspects of centralized decision-making.
- + Most curricular decisions such as those relating to courses and course content reside with the faculty leaving by consensus the question of new program approvals for treatment at the campus and/or system level.
- + A gradual trend at the State level to encourage decision-making at lower levels.

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- + The evolution of technology which provides greater options than twenty years ago for powerful equipment to be acquired economically of benefit to individual departments, schools and campuses rather than the necessity to justify the equipment on the basis of system needs.
- + With reductions in State support, greater reliance on private donation requires focus and efforts at the campus level rather than at a system.

The CSU is a large, dynamic and changing organization. It has very clearly moved through a series of life-cycles which can be viewed from a variety of perspectives -- the centralization-decentralization paradigm being only one of many. The 1990s will undoubtedly see yet further changes in relationships which will be influenced by yet unforeseen events.

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CALIFORNIA POSTSECONDARY EDUCATION COMMISSION

THE California Postsecondary Education Commission is a citizen board established in 1974 by the Legislature and Governor to coordinate the efforts of California's colleges and universities and to provide independent, non-partisan policy analysis and recommendations to the Governor and Legislature.

Members of the Commission

The Commission consists of 15 members. Nine represent the general public, with three each appointed for six-year terms by the Governor, the Senate Rules Committee, and the Speaker of the Assembly. The other six represent the major segments of postsecondary education in California.

As of March 1991, the Commissioners representing the general public are:

Mim Andelson, Los Angeles;
C. Thomas Dean, Long Beach;
Henry Der, San Francisco; *Vice Chair*;
Rosalind K. Goddard, Los Angeles;
Helen Z. Hansen, Long Beach;
Mari-Luci Jaramillo, Emeryville;
Lowell J. Paige, El Macero; *Chair*;
Dale F. Shimasaki, Sacramento
Stephen P. Teale, M.D., Modesto.

Representatives of the segments are:

Joseph D. Carrabino, Orange; appointed by the California State Board of Education;

James B. Jamieson, San Luis Obispo; appointed by the Governor from nominees proposed by California's independent colleges and universities

Meredith J. Khachigian, San Clemente; appointed by the Regents of the University of California;

John F. Parkhurst, Folsom; appointed by the Board of Governors of the California Community Colleges;

Theodore J. Saenger, San Francisco; appointed by the Trustees of the California State University; and

Harry Wugalter, Thousand Oaks; appointed by the Council for Private Postsecondary and Vocational Education.

Functions of the Commission

The Commission is charged by the Legislature and Governor to "assure the effective utilization of public postsecondary education resources, thereby eliminating waste and unnecessary duplication, and to promote diversity, innovation, and responsiveness to student and societal needs."

To this end, the Commission conducts independent reviews of matters affecting the 2,600 institutions of postsecondary education in California, including community colleges, four-year colleges, universities, and professional and occupational schools.

As an advisory planning and coordinating body, the Commission does not administer or govern any institutions, nor does it approve, authorize, or accredit any of them. Instead, it cooperates with other State agencies and non-governmental groups that perform these functions, while operating as an independent board with its own staff and its own specific duties of evaluation, coordination, and planning,

Operation of the Commission

The Commission holds regular meetings throughout the year at which it debates and takes action on staff studies and takes positions on proposed legislation affecting education beyond the high school in California. By law, its meetings are open to the public. Requests to speak at a meeting may be made by writing the Commission in advance or by submitting a request before the start of the meeting.

The Commission's day-to-day work is carried out by its staff in Sacramento, under the guidance of its executive director, Kenneth B. O'Brien, who is appointed by the Commission.

The Commission publishes and distributes without charge some 30 to 40 reports each year on major issues confronting California postsecondary education. Recent reports are listed on the back cover.

Further information about the Commission, its meetings, its staff, and its publications may be obtained from the Commission offices at 1020 Twelfth Street, Third Floor, Sacramento, CA 98514-3985; telephone (916) 445-7933.

PROGRESS ON THE COMMISSION'S STUDY OF THE CALIFORNIA STATE UNIVERSITY'S ADMINISTRATION

California Postsecondary Education Commission Report 91-2

ONE of a series of reports published by the Commission as part of its planning and coordinating responsibilities. Additional copies may be obtained without charge from the Publications Office, California Postsecondary Education Commission, Third Floor, 1020 Twelfth Street, Sacramento, California 95814-3985.

Recent reports of the Commission include:

90-15 Services for Students with Disabilities in California Public Higher Education, 1990: The First in a Series of Biennial Reports to the Governor and Legislature in Response to Assembly Bill 746 (Chapter 829, Statutes of 1987) (April 1990)

90-16 Standardized Tests Used for Higher Education Admission and Placement in California During 1989: The First in a Series of Biennial Reports Published in Accordance with Senate Bill 1416 (Chapter 446, Statutes of 1989) (April 1990)

90-17 Academic Program Evaluation in California, 1988-89: The Commission's Fourteenth Annual Report on Program Planning, Approval, and Review Activities (June 1990)

90-18 Expanding Information and Outreach Efforts to Increase College Preparation: A Report to the Legislature and Governor in Response to Assembly Concurrent Resolution 133 (Chapter 72, Statutes of 1988) (June 1990)

90-19 Toward an Understanding of Campus Climate: A Report to the Legislature in Response to Assembly Bill 4071 (Chapter 690, Statutes of 1988) (June 1990)

90-20 Planning for a New Faculty: Issues for the Twenty-First Century. California's Projected Supply of New Graduate Students in Light of Its Need for New Faculty Members (September 1990)

90-21 Supplemental Report on Academic Salaries, 1989-90: A Report to the Governor and Legislature in Response to Senate Concurrent Resolution No. 51 (1965) and Subsequent Postsecondary Salary Legislation (September 1990)

90-22 Second Progress Report on the Effectiveness of Intersegmental Student Preparation Programs: The Second of Three Reports to the Legislature in Response to Item 6420-0011-001 of the 1988-89 Budget Act (October 1990)

90-23 Student Profiles, 1990: The First in a Series

of Annual Factbooks About Student Participation in California Higher Education (October 1990)

90-24 Fiscal Profiles, 1990: The First in a Series of Factbooks About the Financing of California Higher Education (October 1990)

90-25 Public Testimony Regarding Preliminary Draft Regulations to Implement the Private Postsecondary and Vocational Education Reform Act of 1989: A Report in Response to Assembly Bill 1993 (Chapter 1324, Statutes of 1989) (October 1990)

90-26 Legislation Affecting Higher Education During the Second Year of the 1989-90 Session: A Staff Report of the California Postsecondary Education Commission (October 1990)

90-27 Legislative Priorities of the Commission, 1991: A Report of the California Postsecondary Education Commission (December 1990)

90-28 State Budget Priorities of the Commission, 1991: A Report of the California Postsecondary Education Commission (December 1990)

90-29 Shortening Time to the Doctoral Degree: A Report to the Legislature and the University of California in Response to Senate Concurrent Resolution 66 (Resolution Chapter 174, Statutes of 1989) (December 1990)

90-30 Transfer and Articulation in the 1990s: California in the Larger Picture (December 1990)

90-31 Preliminary Draft Regulations for Chapter 3 of Part 59 of the Education Code, Prepared by the California Postsecondary Education Commission for Consideration by the Council for Private Postsecondary and Vocational Education. (December 1990)

90-32 Statement of Reasons for Preliminary Draft Regulations for Chapter 3 of Part 59 of the Education Code, Prepared by the California Postsecondary Education Commission for the Council for Private Postsecondary and Vocational Education. (December 1990)

91-1 Library Space Standards at the California State University: A Report to the Legislature in Response to Supplemental Language to the 1990-91 State Budget (January 1991)

91-2 Progress on the Commission's Study of the California State University's Administration: A Report to the Governor and Legislature in Response to Supplemental Report Language of the 1990 Budget Act (January 1991)